

Science Contractor Assurance Peer Review Template

Draft - February 1, 2011

Pre-Review Prep and Communication

- Be sure all documentation and read-ahead materials are posted on the CAS SharePoint Site at least ten business days prior to the review.
- The CAS Review team Chair and Coordinator will hold a per-review teleconference with Lab Management, the Site Office Manager and Corporate Rep to discuss the conduct of the review and answer any questions.
- The CAS Review team Chair and Coordinator will hold a per-review teleconference with the Observer Team to set expectations, discuss the conduct of the review, and answer any questions.
- The Review Team itself will hold two pre-review teleconferences to discuss read-ahead materials, LOIs, and the conduct of the review.

Contractor Assurance Peer Review Standard Agenda

The following presents guidance for structuring the review of your CAS. This "standard review agenda" notes the topics that should be covered during your review, presents the preferred structure for the review, and provides guidance on who the participants would be and how much time to spend in each area. Each site should work closely with its review team to finalize the review agenda to best meet the specific needs and local conditions of the site being reviewed.

Part One: *Introductions and Opening Remarks*

The purpose of this portion of the review is to:

- Introduce the CAS review team members, the CAS review observers, and all members of Laboratory Management, the Corporate Parent, and the Site Office that will be participating in the review.
- Hear opening remarks from the site on how the review has been structured and important logistics
- Hear from the CAS Peer Review Team Chair on how the review will be conducted

.5 Hours

- Introductions
- Site Reps (Lab, Corporate parent and Site Office) opening remarks
- Peer Review Team Chair opening remarks

Part Two: *Laboratory History, Strategy, and Mission Overview (optional tour)*

The purpose of this portion of the review is to provide an overview of the laboratory, its overall strategy and challenges, and the role of the contractor and site office in developing and executing this strategy. This portion of the review is likely to be delivered through formal presentations with interactive questions and answers. Because a key purpose of the CAS is to assure that the mission of the laboratory is being effectively executed, this is important context for gaining that understanding.

The optional Site/Laboratory tour (described below) is a good compliment to this

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session in helping the review team understand the setting and context for Laboratory Management, the Corporate Parent and Site Office.			
1 Hour	Senior Leaders from Lab management, the Corporate Parent and Site Office.		
Part Three: Overview of the Site’s CAS			
The purpose of this portion of the review is for Laboratory Management, Corporate Parent and the Site Office to provide an overview of their CAS including key implementing processes, functions, roles and experience with each as a system. This portion of the review is likely to be delivered through formal presentations with interactive questions and answers between the review team and presenter(s). Presentations should be structured to address the CAS review Lines of Inquiry (LOIs) and focus on the impact the CAS has had to date. These presentations should supplement and illuminate the documentation and other “read ahead” materials made available to the review team.			
1 Hour	Governance Function – presented by the Corporate Parent		
1 Hour	Site Office Oversight Function – presented by the Site Office Manager		
.5 Hour	Overview of CAS in Management and Operations Functions (Lab COO)		
.5 Hour	Overview of CAS in R&D Organizations (Lab Director or Deputy for S&T)		
1 Hour	Executive Session: CAS Review Team only with the Laboratory Director, COO and Deputy for S&T, Site Office Manager, and Corporate Rep.		
Part Four: Detailed Discussions of Core CAS Elements and Functionality			
The objectives of this portion of the review include: gaining a detailed understanding the key elements of the CAS (as defined in the H Clause); demonstrating that these functions are working effectively as intended; testing the overall system’s effectiveness; sharing lessons learned and good practices. This portion of the review will be structured as three concurrent tracks: Site Office Oversight; Corporate Governance; and Laboratory Management. The CAS review team will divide itself into three teams of two individuals each, with each of these sub-teams focusing in one of the tracks. These sessions should <u>not</u> include formal presentations; rather, they should be discussion-based sessions focusing on experience, performance, and evidence that the CAS element is functioning effectively as intended.			
Break Out Tracks			
	Laboratory Management	Corporate Governance	Site Office Oversight
1 Hour	Senior Line Managers of Operations Functions (i.e., Facilities, Site Operations, ES&H, Quality, etc.)	Governing Board or Council Chair and Members	Site Office Manager and Key Senior Leaders
1 Hour	Senior Line Managers of Business Functions (i.e.; HR, IT, Finance, etc.)	Chairs of key Governance Committees/Councils/ Functions	Annual Performance Plan Development and Execution

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1 Hour	Senior R&D Line Managers	Chairs of key Governance Committees/Councils/ Functions	Site Office POCs for Key Business Functions
1 Hour	Issues Management and Assessment (Management, and Independent / External) Processes	Internal Audit Function in the CAS	Site Office POCs for Key Operations Functions
1 Hour	CAS Functionality and Impact Case Studies: Deep Dive(s) into examples of how the CAS has worked to enable mission execution, risk identification, and risk management. Include discussion of risk identification, performance tracking, trending, use of metrics, etc.		
Out Brief			
The review will conclude with an Out Brief the Review Team’s key observations and conclusions. While the “team time” schedule for each day			
<ul style="list-style-type: none">• The CAS review team should have two hours scheduled as prep time for the out brief• A 45 minute pre-brief discussion should be scheduled for the Site Office Manager, Lab COO, and Corporate Parent Rep together with the review team• The formal out brief should be scheduled for 45 minutes.			
2 Hours	Review Team’s Out Brief Prep Time		
.75 Hours	Pre-Brief Discussion: Site Office Manager, Lab COO, Site Office Manager; CAS Review Team		
.75 Hours	Out Brief		
Team Time; Observer Time; Schedule Flexibility			
<ul style="list-style-type: none">• Two hours each day of the review should be scheduled and reserved for the CAS review team to work. Thirty minutes of these sessions should include the observers.• The Observers should have scheduled independent work time each day to prepare its deliverable of key process observations, improvements and lessons learned.• Flexibility should be built into the agenda so that the review team can add interviews as determined to be needed during the review.			
Optional Site/Laboratory Tour			
A tour of the Laboratory/Site is helpful to the CAS review team in understanding the context in which the CAS operates in terms of key risks, constraints, site specific issues, priorities and mission execution. While site tours are not required, they are highly encouraged.			